

Executive Branch Personnel

Public Financial Disclosure Report:

Periodic Transaction Report (OGE Form 278-T)

Filer's Information

Ferriero, David S

Archivist of the United States, National Archives and Records Administration

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Ferriero, David S [electronically signed on 04/24/2019 by Ferriero, David S in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Runkel, Christopher M, Certifying Official [electronically signed on 05/29/2019 by Runkel, Christopher M in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 07/11/2019 by Granahan, Megan in Integrity.gov]

Data Revised 05/29/2019

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(05/29/2019, Runkel, Christopher M): No conflicts presented by the transactions reported herein.

Transactions

#	DESCRIPTION		TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
1	CD - Key Bank National Association, Cleveland, OH - REDEEMED	See Endnote		03/06/2019	No	\$100,001 - \$250,000
2	Disney Company Stock DIS	See Endnote	Purchase	03/12/2019	No	\$1,001 - \$15,000
3	Ecolab Inc. Stock ECL	See Endnote	Purchase	03/12/2019	No	\$1,001 - \$15,000
4	Iron Mountain REIT Incorporated Stock IRM	See Endnote	Purchase	03/12/2019	No	\$1,001 - \$15,000
5	Microsoft Corporation Stock MSFT	See Endnote	Purchase	03/12/2019	No	\$1,001 - \$15,000
6	Prologis, Inc. Stock PLD	See Endnote	Purchase	03/12/2019	No	\$1,001 - \$15,000
7	Royal Bank of Canada Stock RY	See Endnote	Purchase	03/12/2019	No	\$1,001 - \$15,000
8	Target Corporation Stock TGT	See Endnote	Purchase	03/12/2019	No	\$1,001 - \$15,000
9	Thermo Fisher Scientific, Inc. Stock TMO	See Endnote	Purchase	03/12/2019	No	\$1,001 - \$15,000
10	Constellation Brands, Inc. Stock STZ	See Endnote	Sale	03/12/2019	No	\$15,001 - \$50,000
11	Motorola Solutions, Inc. Stock MSI	See Endnote	Sale	03/12/2019	No	\$15,001 - \$50,000
12	UnitedHealth Group Inc. Stock UNH	See Endnote	Sale	03/12/2019	No	\$15,001 - \$50,000
13	CD - State Bank of India, New York, NY	See Endnote	Purchase	03/19/2019	No	\$100,001 - \$250,000
14	CD - Home Savings Bank, Youngstown, OH - REDEEMED	See Endnote		02/04/2019	No	\$1,001 - \$15,000

Endnotes

PART	#	ENDNOTE
Transactions	1	CD purchased in February 2019. Interest earned prior to redemption > \$200.
Transactions	2	Accretion to existing stock holding.
Transactions	3	New.
Transactions	4	New.
Transactions	5	Accretion.
Transactions	6	New.
Transactions	7	New.
Transactions	8	New.
Transactions	9	Accretion.
Transactions	10	Partial sale of overall holdings (135 shares). No cap gains, < \$201 in dividends on these shares.
Transactions	11	Partial sale of overall holdings (200 shares). Cap gains on these shares > \$5,000. 2019 dividend on these shares to be paid in April 2019.
Transactions	12	Partial sale of overall holdings (130 shares). No cap gains earned on these shares. Dividend on these shares prior to sale < \$201.
Transactions	13	Redemption date is June 2019.
Transactions	14	CD was purchased in January 2019. This transaction occurred > 45 days ago and is being reported for the filer's convenience; it is not required to be reported on the 278-T. Interest earned < \$201.

Summary of Contents

The 278-T discloses purchases, sales, or exchanges of securities in excess of \$1,000 made on behalf of the filer, the filer's spouse, or dependent child. Transactions are required to be disclosed within 30 days of receiving notification of a transaction but not later than 45 days after the transaction. Filers need not disclose (1) mutual funds and other excepted investment funds; (2) certificates of deposit, savings or checking accounts, and money market accounts; (3) U.S. Treasury bills, notes, and bonds; (4) Thrift Savings Plan accounts; (5) real property; and (6) transactions that are solely by and between the filer, the filer's spouse, and the filer's dependent children.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.
